

**INFORMATION DISCLOSURE STATEMENT**

Applicant	:	TAN
App. No.	:	10/823,043
Filed	:	April 12, 2004
For	:	Annatto Extract Compositions Including Tocotrienols and Tocopherols and Methods of Use
Examiner	:	UNKNOWN
Group Art Unit	:	UNKNOWN

Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

Dear Sir:

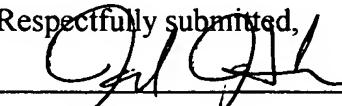
Enclose is form PTO-1449 listing eighty (88) references. Copies of disclosed U.S. patents and/or publications are not included pursuant to PTO waiver of the requirement under 37 C.F.R. §1.98(a)(2)(i) for applications filed after June 30, 2003. Copies of other references, if listed, are enclosed. Documents Nos. 12 through 88 have been disclosed in the present patent application.

This Information Disclosure Statement is being filed with an RCE or within three months of the filing date of this application and no fee is required in accordance with 37 C.F.R. § 1.97(b)(1), (b)(2), or (b)(4).

Dated: July 12, 2004

By: \_\_\_\_\_

Respectfully submitted,

  
Registration No. 51,763  
Agent of Record  
Customer No.038051

FORM PTO-1449 U.S. DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE		ATTY. DOCKET NO. BT-001	APPLICATION NO. 10/823,043
O I P E INFORMATION DISCLOSURE STATEMENT BY APPLICANT JUL 14 2004 USE SEVERAL SHEETS IF NECESSARY		APPLICANT Tan, B.	
		FILING DATE: April 12, 2004	GROUP Unknown

## U.S. PATENT DOCUMENTS

EXAMINER INITIAL	DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE (IF APPROPRIATE)
1	2003139467	July 24, 2003	Igarashi			
2	6441029	August 27, 2002	Elson			
3	6358997	March 19, 2002	Clark			
4	6350453	February 26, 2002	Tan			
5	6083979	July 4, 2000	Sehti			
6	5756109	May 26, 1998	Burger			
7	5660691	August 26, 1997	Barnicki			
8	5602184	February 11, 1997	Myers			
9	5318993	June 7, 1994	Pearce			
10	5217992	June 8, 1993	Wright			
11	5157132	October 20, 1992	Tan			

## FOREIGN PATENT DOCUMENTS

EXAMINER INITIAL	DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUBCLASS	TRANSLATION	
						YES	NO

EXAMINER INITIAL	OTHER DOCUMENTS (INCLUDING AUTHOR, TITLE, DATE, PERTINENT PAGES, ETC.)	
12	Anderson, S., J. Qiu, et al. (2003). "Tocotrienols induce IKBKAP expression: a possible therapy for familial dysautonomia." Biochem Biophys Res Commun. 306(1): 303-309.	
13	Araki, Y., et al. (2003). "Human monocyte chemotaxis is induced by glycolaldehyde-derived pyridine (GA-pyridine), one of structures identified from AGE-modified proteins." Diabetes 52(Suppl. 1): A172 extended abstract. 738P.	
14	Cahoon, E., S. Hall, et al. (2003). "Metabolic redesign of vitamin E biosynthesis in plants for tocotrienol production and increased antioxidant content." Nat Biotechnol. 21(9): 1082-1087.	

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\*EXAMINER: INITIAL IF CITATION CONSIDERED, WHETHER OR NOT CITATION IS IN CONFORMANCE WITH MPEP 609; DRAW LINE THROUGH CITATION IF NOT IN CONFORMANCE AND NOT CONSIDERED, INCLUDE COPY OF THIS FORM WITH NEXT COMMUNICATION TO APPLICANT.

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15	Carr, A. and B. Frei (2000). "The Role Of Natural Antioxidants In Preserving The Biological Activity Of Endothelium-Derived Nitric Oxide." <i>Free Rad. Biol. Med.</i> 28(12): 1806-1814.
16	Chao, J. (2002). "Inhibitory Effect of d-Tocotrienol, a HMG CoA Reductase Inhibitor, on Monocyte-Endothelial Cell Adhesion." <i>J. Nutr. Sci. Vitaminol.</i> 48: 332-337.
17	Chen, Y. D. and G. M. Reaven (1998). "Insulin Resistance and Atherosclerosis." <i>Ann. Rev. Diabetes</i> : 105-116.
18	Colwell, J. (1997). "Aspirin therapy in diabetes." <i>Diabetes Care</i> 20: 1767-1771.
19	Colwell, J. (2004). "Aspirin therapy in diabetes." <i>Diabetes Care</i> 27(Supp. 1): S72-S73.
20	Deepa, R., S. Pillarisetti, et al. (2003). "Elevation of Serum VCAM-1, IL-6, MCP-1 and CRP in Insulin Resistant Prediabetic and Diabetic Asian South Indian Subjects." <i>Diabetes</i> 52(Suppl. 1): A153 extended abstract. 658P.
21	DeFronzo, R. A. (1998). "Pathogenesis of Type 2 Diabetes: Metabolic & Molecular Implications for Identifying Diabetes Genes." <i>Ann. Rev. Diabetes</i> : 1-93.
22	Dormann, P. (2003). "Corn with enhanced antioxidant potential." <i>Nat Biotechnol.</i> 21(9): 1015-1016.
23	Elson, C. E. (1995). "Suppression of Melvalonate Pathway Activities by Dietary Isoprenoids: Protective Roles in Cancer and Cardiovascular Disease." <i>J. Nutr.</i> 125: 1666S-1672S.
24	Fairus, S., et al. (2003). "Palm Tocotrienols: Tracing its Metabolism and Biokinetics." <i>Proceedings of PIPOC Food Tech. Nutri.</i> : 236-246.
25	Farrell, P. and J. Bieri (1975). "Megavitamin E Supplementation in Man." <i>Am. J. Clin. Nutr.</i> 28: 1381-1386.
26	Festa, A., A. J. Hanley, et al. (2003). "Inflammation in the Prediabetic State Is Related to Increased Insulin Resistance Rather Than Decreased Insulin Secretion." <i>Circulation</i> 108(15): 1822-1830.
27	Gu, J., et. al (1997). "Combined Effects of Sesamin with Alpha T1 or T3s on Lipid and Immune Indices in Brown-Norway Rats." <i>Nutr. Res.</i> 17: 339-350.
28	Guillet-Deniau, I., et al. (2003). "Glucose induces de novo fatty acid synthesis in rat skeletal muscle through a SREBP-1c dependent pathway." <i>Diabetes</i> 52(Suppl. 1): extended abstract. 1024P.
29	Guthrie, N., A. Gapor, et al. (1997). "Inhibition of Proliferation of Estrogen Receptor-negative MDA-MB-435 and-positive MCF-7 Human Breast Cancer Cells by Palm Oil Tocotrienols and Tamoxifen, Alone and in Combination." <i>J. Nutr.</i> 127(3): 544S-548S.
30	Hayes, K., A. Pronczuk, et al. (1993). "Differences in the plasma transport and tissue concentrations of tocopherols and tocotrienols: observations in humans and hamsters." <i>Proc Soc Exp Biol Med.</i> 202(3): 353-359.

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EXAMINER DRAFTED	OTHER DOCUMENTS (INCLUDING AUTHOR, TITLE, DATE, PERTINENT PAGES, ETC.)		
31	Ikeda, S., T. Tohyama, et al. (2003). "Dietary alpha-tocopherol decreases alpha-tocotrienol but not gamma-tocotrienol concentration in rats." <i>J. Nutr.</i> 133(2): 428-434.		
32	Ima-Nirwana, S., et. al. (2000). "Palm vitamin E prevents osteoporosis in orchidectomized growing male rats." <i>Nat. Prod. Sci.</i> 6: 155-160.		
33	Jaleel, A., et al. (2003). "Identificaiton of amadori modified proteins by western blot and mass spectrometry in plasma of type-2 diabetes patients." <i>Diabetes</i> 52(Suppl. 1): A157 extended abstract. 675P.		
34	Jenkins, A. J. and T. J. Lyons (2000). "Preventing Vascular Disease in Diabetes." <i>Practical Diabetology</i> 19: 19-34.		
35	Jiang, Q., S. Christen, et al. (2001). "Gamma-Tocopherol, the Major Form of Vitamin E in the US Diet, Deserves More Attention." <i>Am. J. Clin. Nutr.</i> 74: 714-722.		
36	Kaku, S., S. Yunoki, et al. (1999). "Effect of dietary antioxidants on serum lipid contents and immunoglobulin productivity of lymphocytes in Sprague-Dawley rats." <i>Biosci Biotechnol Biochem.</i> 63(3): 575-576.		
37	Kamat, J., et al. (1997). "Tocotrienols from Palm Oil as Effective Inhibitors of Protein Oxidation and Lipid Peroxidation in Rat Liver Microsomes." <i>Molecular and Cellular Biochemistry</i> 170: 131-138.		
38	Kamat, J. and T. Devasagayam (1995). "Tocotrienols from palm oil as potent inhibitors of lipid peroxidation and protein oxidation in rat brain mitochondria." <i>Neurosci Lett.</i> 195(3): 179-182.		
39	Khor, H. and T. Ng (2000). "Effects of Administration of a-Tocopherol and Tocotrienols on Serum lipids and Liver HMG CoA Reductase Activity." <i>Int. J. of Food Sci. and Nutr.</i> 51: S3-S11.		
40	Kooyenga, D., T. Watkins, et al. (2001). Antioxidants Modulate the Course of Carotid Atherosclerosis: A Four-year Study. <i>Micronutrients and Health. Molecular Biological Mechanisms.</i> K. Nesaretnam and L. Packer, AOCS Press: 366-375.		
41	Kraegen, E. (1998). "Physiologic manifestations of PPAR-gamma activation: preclinical studies." <i>Clinical Courier</i> 16(48): 5-7.		
42	Lehmann, J. (1981). "Comparative Sensitivities of Tocopherol Levels of Platelets, Red Blood Cells, and Plasma for Estimating Vitamin E Nutritional Status in the Rat." <i>Am J. Clin. Nutr. Res.</i> 34: 2104-2110.		
43	Liao, J. K. (1998). "Endothelium and Acute Coronary Syndromes." <i>Clin Chem.</i> 44: 1799-1808.		
44	Liu, M., R. Wallin, et al. (2002). "Mixed Tocopherols Have a Stronger Inhibitory Effect on Lipid Peroxidation Than a-Tocopherol Alone." <i>J. Cardiovasc. Pharmacol.</i> 39(5): 714-721.		
45	McIntyre, B., K. Briski, et al. (2000). "Antiproliferative and Apoptotic Effects of Tocopherols and Tocotrienols on Preneoplastic and Neoplastic Mouse Mammary Epithelial Cells." <i>P.S.E.B.M</i> 224: 292-301.		

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46	McLaughlin, T., et al. (2003). "Prediction of IR with plasma TG or TG/HDL ratio." <i>Diabetes</i> 52(Suppl. 1): A224 extended abstract. 962P.
47	Meigs, J., F. Hu, et al. (2003). "Endothelial Dysfunction Predicts Development of Type 2 Diabetes." <i>Diabetes</i> 52(Suppl. 1): A58 extended abstract. 249-OR.
48	Mensink, R., A. Houwelingen, et al. (1999). "A Vitamin E Concentrate Rich in Tocotrienols Had No Effect on Serum Lipids, Lipoproteins, or Platelet Function in Men With Mildly Elevated Serum Lipid Concentrations." <i>Amer. J. Clin. Nutr.</i> 69(2): 213-219.
49	Mezey, E., A. Parmalee, et al. (2003). "Of splice and men: what does the distribution of IKAP mRNA in the rat tell us about the pathogenesis of familial dysautonomia?" <i>Brain Res.</i> 983(1-2): 209-214.
50	Mustad, V., C. Smith, et al. (2002). "Supplementation With 3 Compositionally Different Tocotrienol Supplements Does Not Improve Cardiovascular Disease Risk Factors in Men and Women With Hypercholesterolemia." <i>Am. J. Clin. Nutr.</i> 76(6): 1237-1243.
51	Nazaimoon, W. and B. Khalid (2002). "Tocotrienol-rich diet decreases AGE in non-diabetic rats and improves glycemic control in streptozotocin-induced diabetic rats." <i>Malay. J. Pathol.</i> 24: 77-82.
52	Newaz, M. and N. Nawal (1999). "Effect of gamma-tocotrienol on blood pressure, lipid peroxidation and total antioxidant status in spontaneously hypertensive rats." <i>Clin. Exper. Hypertension</i> 21: 11297-11313.
53	Newaz, M., Z. Yousefipour, et al. (2003). "Nitric oxide synthase activity in blood vessels of spontaneously hypertensive rats: antioxidant protection by gamma-tocotrienol." <i>J Physiol Pharmacol.</i> 54(3): 319-327.
54	Norazlina, M., et al. (2002). "Tocotrienols are Needed for Normal Bone Calcification of Growing Female Rats." <i>Asia Pacific J. Clin. Nutr.</i> : 194-199.
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57	Prescott, S. M., T. M. McIntyre, et al. (2001). "Events at the Vascular Wall: The Molecular Basis of Inflammation." <i>J. Invest. Med.</i> 49: 104-111.
58	Qureshi, A., et al. (2001). "Novel Tocotrienols of Rice Bran Inhibit Atherosclerotic Lesions in C57BL/6 ApoE-deficient Mice." <i>J. Nutr.</i> 131: 1-13.
59	Qureshi, A., et al. (2002). "Effects of Stabilized Rice Bran, Its soluble and Fiber Fractions on Blood Glucose Levels and Serum Lipid Parameters in Humans with Diabetes Mellitus Type I and II." <i>J. Nutritional Biochemistry</i> 13: 175-187.

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60	Qureshi, A., E. Bradlow, et al. (1997). "Novel Tocotrienols of Rice Bran Modulate Cardiovascular Disease Risk Parameters of Hypercholesterolemic Humans." <i>J. Nutritional Biochemistry</i> 8: 290-298.		
61	Qureshi, A., B. Pearce, et al. (1996). "Dietary a-Tocopherol Attenuates the Impacet of g-Tocotrienol on Hepatic 3-Hydroxy-3-Methylglutaryl Coenzyme A Reductase Activity in Chickens." <i>J. Nutr.</i> 126: 389-394.		
62	Qureshi, A. and D. Peterson (2001). "The combined Effects of Novel Tocotrienols and Lovastatin on Lipid Metabolism in Chickens." <i>Atherosclerosis</i> 156: 39-47.		
63	Qureshi, A., B. Bradlow, et al. (1995). "Response of Hypercholesterolemic Subjects To Administration of Tocotrienols." <i>Lipids</i> 30: 1171-1177.		
64	Rekeneire, N., R. Peila, et al. (2003). "Inflammation, Insulin, Glucose In Non Diabetic Older Persons. (Epidemiology)." <i>Diabetes</i> 52(Suppl. 1): A218 extended abstract. 937P.		
65	Ridker, P., J. Buring, et al. (2003). "C-Reactive Protein, the Metabolic Syndrome, and Risk of Incident Cardiovascular Events: An 8-Year Follow-Up of 14,719 Initially Healthy American Women." <i>Circulation</i> 107(3): 391-397.		
66	Robbesyn, F., V. Garcia, et al. (2003). "HDL Counterbalance the Proinflammatory Effect of Oxidized LDL By Inhibiting Intracellular Reactive Oxygen Species Rise, Proteasome Activation, and Subsequent Nf-Kappab Activation in Smooth Muscle Cells." <i>FASEB J.</i> 17(6): 743-745.		
67	Saldeen, T., D. Li, et al. (1999). "Differential effects of alpha- and gamma-tocopherol on low-density lipoprotein oxidation, superoxide activity, platelet aggregation and arterial thrombogenesis." <i>J Am Coll Cardiol.</i> 34(4): 1208-1215.		
68	Schalkwijk, C., et al. (2003). "Increased accumulation of the glyoxidation product N (carboxymethyl) lysine in hearts of diabetic patients." <i>Diabetes</i> 52(Suppl. 1): A165 extended abstract. 709P.		
69	Sen, C., et al. (2000). "Tocotrienol Potently Inhibits Glutamate-induced pp60c-Src Kinase Activation and Death of HT4 Neuronal Cells." <i>J. Biological Chemistry</i> 275: 13049-13055.		
70	Serbinova, E., V. Kagan, et al. (1991). "Free Radical Recycling and Intramembrane Mobility in the Antioxidant Properties of Alpha-Tocopherol and Alpha-Tocotrienol." <i>Free Rad. Biol. Med.</i> 10: 263-275.		
71	Sheppard, A. J., J. Pennington, et al. (1993). Analysis and Distribution of Vitamin E in Vegetable Oils and Foods. <i>Vitamin E in Health and Disease</i> . L. Packer and J. Fuchs, Marcel Dekker, Inc.: 9-31.		
72	Shi, H., N. Noguchi, et al. (1999). "Formation of phospholipid hydroperoxides and its inhibition by alpha-tocopherol in rat brain synaptosomes induced by peroxynitrite." <i>Biochem Biophys Res Commun.</i> 257(3): 651-656.		

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EXAMINER (TRADE)	OTHER DOCUMENTS (INCLUDING AUTHOR, TITLE, DATE, PERTINENT PAGES, ETC.)
73	Smith, S. (1998). "The molecular pharmacology of PPAR-gamma." <i>Clinical Courier</i> 16(48): 3-4.
74	Sylvester, P. and A. Theriault (2003). "Role of Tocotrienols in the Prevention of Cardiovascular Disease and Breast Cancer." <i>Current Topics in Nutraceutical Research</i> 1(2): 121-136.
75	Szwergold, B., et al. (2003). "Intracellular nonenzymatic glycation of hemoglobin in human erythrocytes is controlled by enzymatic deglycation mechanisms." <i>Diabetes</i> 52(Suppl. 1): A190 extended abstract. 815P.
76	Tan, B. (1992). "Antitumor Effects of Palm Carotenes and Tocotrienols in HRS/J Hairless Female Mice." <i>Nutrition Research</i> 12: S163-S173.
77	Theriault, A., et al (1999). "Tocotrienol: A Review of its Therapeutic Potential." <i>Clinical Biochemistry</i> 32(July): 309-319.
78	Tomeo, A., et al. (1995). "Antioxidant Effects of Tocotrienols in Patients with Hyperlipidemia and Carotid Stenosis." <i>Lipids</i> 30: 1179-1183.
79	Traber, M., et al. (1997). "Diet-derived and topically applied tocotrienols accumulate in skin and protect the tissue against ultraviolet light-induced oxidative stress." <i>Asia Pacific J. Clin. Nutri.</i> 6: 63-67.
80	Traber, M., et al. (1998). "Penetration and distribution of alpha-tocopherol, alpha- or gamma-tocotrienols applied individually onto murine skin." <i>Lipids</i> 33: 87-91.
81	Tsai, A., J. Kelly, et al. (1978). "Study on the Effect of Mega-Vitamin E Supplementation in Man." <i>Am. J. Clin. Nutr.</i> 31: 831-837.
82	Wallace, A., D. Chinn, et al. (2003). "Taking simvastatin in the morning compared with in the evening: randomised controlled trial." <i>BMJ</i> 327(7418): 788.
83	Watkins, T., M. Geller, et al. (1999). "Hypocholesterolemic and antioxidant effect of rice bran oil non-saponifiables in hypercholesterolemic subjects." <i>Environmental &amp; Nutritional Interactions</i> 3: 115-122.
84	Watkins, T., M. Bierenbaum, et al. (1999). Tocotrienols: biological and health benefits. <i>Antioxidant Status, Diet, Nutrition, and Health</i> . A. M. Papas, CRC Press: 479-496.
85	Weber, C., et al. (1997). "Efficacy of Topically Applied Tocopherols and Tocotrienols in Protection of Murine Skin from Oxidative Damage Induced by UV-Irradiation." <i>Free Radical Biology and Medicine</i> . 22: 761-769.
86	Yap, S., K. Yuen, et al. (2001). "Pharmacokinetics and bioavailability of alpha-, gamma- and delta-tocotrienols under different food status." <i>J Pharm. Pharmacol.</i> 53(1): 67-71.
87	Yoshida, Y., et al. (2003). "Comparative Study on the Action of Tocopherols and Tocotrienols as Antioxidant:Chemical and Physical Effects." <i>Chemistry and Physics of Lipids</i> 123: 63-75.
88	Yu, W., M. Simmons-Menchana, et al. (1999). "Induction of Apoptosis in Human Breast Cancer Cells by Tocopherols and Tocotrienols." <i>Nutrition and Cancer</i> 33: 26-32.

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